

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of)

REQUEST FOR REFUND

David W. LaFore et al.)

Serial No.: 09/497,272)

Filed: February 3, 2000)

For: "Data Processing System
For Brokerage Houses")

I hereby certify that this correspondence is being
deposited with the United States Postal Service as
first class mail in an envelope addressed to:
Assistant Commissioner for Patents, Washington,
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(Date of Deposit)
Virginia A. Sawtze
Name of applicant, assignee, or Registered Rep.

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Sir/Madam:

Enclosed please find a copy of Monthly Statement of Deposit
Account for Deposit Account No. 06-0778, dated February 29, 2000,
charging a total of \$486.00 in connection with the above-identified
application. The amount charged in this statement was with regard to the
additional amount due for a large entity, as the Small Entity Statements
were not originally filed. Enclosed please find copies of the Statements
Claiming Small Entity Status - Small Business Concern and Independent
Inventor and the postcard which were filed in the Patent Office on February
22, 2000. Therefore, please credit Deposit Account No. 06-0778 for
\$486.00 in connection with the above application.

Respectfully submitted,

FIELDS & JOHNSON, P.C.



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PLEASE SEND REMITTANCES TO:
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[illegible]

*** OD INDICATES OVERDRA

February 17, 2000

RE: U.S. Patent Application Serial No. 09/497,272 Entitled
"Data Processing System and Method for Managing Broker
Transaction Information" to David W. LaFore, et al.;
Docket No. J99.10

Enclosed herewith for filing:

- (x) Transmittal form
- (x) Two (2) Statements Claiming Small Entity: Independent
- (x) Inventor, and Small Business Concern
- (x) Assignment
- (x) Recordation Form Cover Sheet
- (x) Check for \$65.00
- (x) Check for \$40.00
- (x) Return postcard
- (x) Declaration

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